

IN THE UNITED STATES PATENT AND
TRADEMARK OFFICE

Applicant: Lydia Breck, et al.

Docket No.: 40655.0700

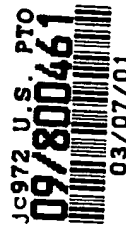
Serial No.: TBA

Filing Date: Filed herewith

Group Art Unit: TBA

Title: SYSTEM FOR FACILITATING A
TRANSACTION

Examiner: TBA



#4

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Assistant Commissioner:

This Information Disclosure Statement is being filed in accordance with the duty of disclosure under 37 C.F.R. § 1.56 and pursuant to 37 C.F.R. §§ 1.97-1.98. Copies of the cited references are being submitted herewith. The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant reserves the right to dispute any of the listed documents as prior art during examination. Further, Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application. Furthermore, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made or that no other material information may exist.

It is respectfully requested that these documents be considered by the examiner and an initialed copy of each form be returned to the undersigned.

This Information Disclosure Statement is being filed in compliance with 37 C.F.R. § 1.97(b)(1) as it is being filed contemporaneously with the Patent Application. Therefore, there is no fee required.

The Assistant Commissioner is hereby authorized to charge Deposit Account No. 19-2814 for any deficiency in the fees required for the filing of this Information

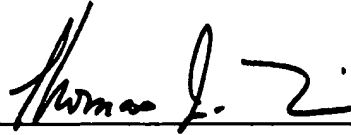
Disclosure Statement, for which purpose a duplicate copy of this sheet is enclosed.

This statement does not authorize the payment of the issue fee.

Respectfully submitted,

Date: March 7, 2001

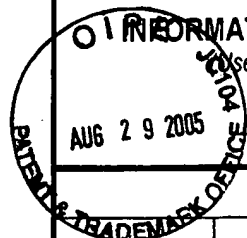
By



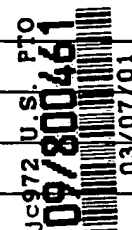
Thomas J. Finn
Reg. No. P48,066

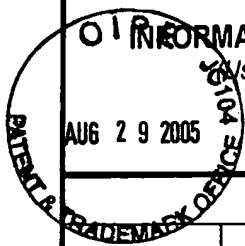
Enclosures: PTO-1449
cited references

SNELL & WILMER, L.L.P.
One Arizona Center
400 East Van Buren
Phoenix, AZ 85004-2202
(602) 382-6219



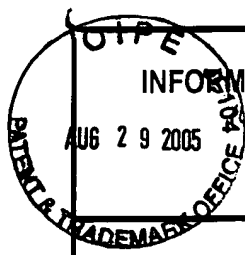
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)		ATTY DOCKET NO. 40655.0700		SERIAL NO. TBA		
		APPLICANT(S) Breck et al.				
		FILING DATE March 7, 2001		GROUP TBA		
U.S. PATENT DOCUMENTS						
*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4,450,535	1984/5/22	de Pommery et al.			
	5,016,274	1991/5/14	Micali et al.			
	5,023,908	1991/6/11	Weiss			
	5,350,906	1994/9/27	Brody et al.			
	5,461,217	1995/10/24	Claus			
	5,500,513	1996/3/19	Langhans et al.			
	5,504,808	1996/4/2	Hamrick, Jr.			
	5,577,120	1996/11/19	Penzias			
	5,614,703	1997/3/25	Martin et al.			
	5,641,050	1997/6/24	Smith et al.			
	5,724,424	1998/3/3	Gifford			
	5,742,845	1998/4/21	Wagner			
	5,826,242	1998/10/20	Montulli			
	5,862,325	1999/1/19	Reed et al.			
	5,864,830	1999/1/26	Armetta et al.			
	5,883,810	1999/3/16	Franklin et al.			
	5,884,280	1999/3/16	Yoshioka et al.			
	5,897,622	1999/4/27	Blinn et al.			
	5,898,838	1999/4/27	Wagner			
	5,903,830	1999/5/11	João et al.			
	5,903,875	1999/5/11	Kohara			
	5,903,880	1999/5/11	Biffar			
	5,905,908	1999/5/18	Wagner			
	5,909,492	1999/6/1	Payne et al.			
	5,915,023	1999/6/22	Bernstein			
	5,923,734	1999/7/13	Taskett			
	5,930,777	1999/7/27	Barber			
	5,949,044	1999/9/7	Walker et al.			





INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)	ATTY DOCKET NO. 40655.0700	SERIAL NO. TBA
	APPLICANT(S) Breck et al.	
	FILING DATE March 7, 2001	GROUP TBA

U.S. PATENT DOCUMENTS						
	5,949,876	1999/9/7	Ginter et al.			
	5,956,699	1999/9/21	Wong et al.			
	5,960,411	1999/9/28	Hartman et al.			
	5,963,915	1999/10/5	Kirsch			
	5,966,697	1999/10/12	Ferguson et al.			
	5,970,471	1999/10/19	Hill			
	5,970,472	1999/10/19	Allsop et al.			
	5,970,473	1999/10/19	Gerszberg et al.			
	5,970,475	1999/10/19	Barnes et al.			
	5,983,207	1999/11/9	Turk et al.			
	6,002,767	1999/12/14	Kramer			
	6,009,412	1999/12/28	Storey			
	6,014,634	2000/1/11	Scroggie et al.			
	6,014,635	2000/1/11	Harris et al.			
	6,014,636	2000/1/11	Reeder			
	6,014,646	2000/1/11	Vallee et al.			
	6,014,648	2000/1/11	Brennan			
	6,014,650	2000/1/11	Zampese			
	6,014,748	2000/1/11	Tushie et al.			
	6,016,484	2000/1/18	Williams et al.			
	6,023,510	2000/2/8	Epstein			
	6,029,150	2000/2/22	Kravitz			
	6,029,890	2000/2/29	Austin			
	6,038,292	2000/3/14	Thomas			
	6,038,551	2000/3/14	Barlow et al.			
	6,041,308	2000/3/21	Walker et al.			
	6,058,418	2000/5/2	Kobata			
	6,061,789	2000/5/9	Hauser et al.			
	6,064,981	2000/5/16	Barni et al.			

**INFORMATION DISCLOSURE CITATION**

(Use several sheets if necessary)

ATTY DOCKET NO.
40655.0700SERIAL NO.
TBAAPPLICANT(S)
Breck et al.FILING DATE
March 7, 2001GROUP
TBA**U.S. PATENT DOCUMENTS**

	6,076,078	2000/6/13	Camp et al.			
	6,078,906	2000/6/20	Huberman			
	6,081,790	2000/6/27	Rosen			
	6,088,717	2000/7/11	Reed et al.			
	6,088,797	2000/7/11	Rosen			
	6,092,198	2000/7/18	Lanzy et al.			
	6,115,458	2000/9/5	Taskett			

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 99/49424	1999/9/30	PCT				
	WO 00/49586	2000/8/24	PCT				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Ser./Pat. No.: <u>09/800,461</u>	File/Issue Date: <u>MARCH 7, 2001</u>
Applicant/Assignee(s): <u>BRECK ET AL</u>	Title: <u>SYSTEM FOR FACILITATING A TRANSACTION</u>
<input type="checkbox"/> Patent Application <input type="checkbox"/> Check No. _____; \$ _____ <input type="checkbox"/> Drawings _____ F; _____ INF <input type="checkbox"/> Oath or Declaration <input type="checkbox"/> Small Entity Status Statement <input type="checkbox"/> Assignment w/Coversheet & Fee <input checked="" type="checkbox"/> Info. Disclosure Stmt & Form <u>1-119</u> <input type="checkbox"/> Response to OA/Amendment <u>pro/36/084</u>	<input type="checkbox"/> Application for Reissue <input type="checkbox"/> Notice of Appeal <input type="checkbox"/> Transmittal: <u>MAR 18 2003</u> <input type="checkbox"/> Letter: _____ <input type="checkbox"/> Request for _____ <input type="checkbox"/> Petition: _____ <input type="checkbox"/> Other: _____
Marked items filed with the U.S. Patent & Trademark Office on: <u>MARCH 13, 2003</u>	
<input type="checkbox"/> U.S. Express Mail No. _____ <input checked="" type="checkbox"/> U.S. First Class Mail	
THE OFFICIAL U.S.P.T.O. MAIL ROOM STAMP AFFIXED HERETO ACKNOWLEDGES RECEIPT OF THE ITEMS CHECKED.	
Atty Docket No.: <u>40655.0700</u> Attorney: <u>HIS</u> /Resp.: <u>HIS</u>	

NOTED FOR RECEIPT



CERTIFICATE OF MAILING

I certify that this document is being deposited with the U.S. Postal Service as First Class Mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Date: March 13, 2003

Deborah G. Mice
Signature of Person Mailing Correspondence

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT

Applicant(s):	Breck et al.	Docket No.:	40655.0700
Serial No.:	09/800,461	Group Art Unit:	2161
Filed:	March 7, 2001	Examiner:	TBA
Title:	SYSTEM FOR FACILITATING A TRANSACTION	Confirmation No.:	3738

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner For Patents
Washington, D.C. 20231

Commissioner:

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and pursuant to 37 C.F.R., §§1.97 and 1.98, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents listed on the attached Form PTO/SB/08A. One copy of each cited document is submitted herewith. Applicant respectfully submits that all pending claims are patentable over the foregoing references, alone or in combination. The Examiner is requested to initial the enclosed Form PTO/SB/08A and return a copy thereof to the undersigned.

The items listed on Form PTO/SB/08A may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application.

Applicants reserve the right to dispute any of the listed documents as prior art during examination. Further, Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application. Furthermore, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made or that no other material information may exist.

1. ☐ For each of the following items listed on the enclosed copy of Form PTO/SB/08A that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed:
-
-

2. ☐ Any copy of the items listed on the enclosed copy of Form PTO/SB/08A that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in the prior ☐ Parent Application, ☐ Continuation, ☐ Divisional or ☐ Continuation-In-Part application under 37 C.F.R. §1.97, U.S. Serial No. _____, filed _____.

3. ☒ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:

☐ 37 C.F.R. §1.97(b)(1), within three months of the filing date of the above-identified application.

☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application.

☒ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits.

4. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 3 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 8 below.

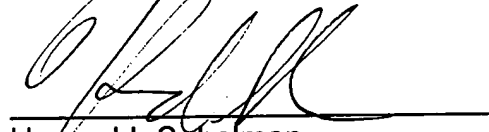
5. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 3 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):

- ☐ A check in the amount of \$180.00 is enclosed in payment of the fee.
- ☐ Charge the fee to Deposit Account No. 19-2814. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
6. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:
- a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 8 below; and
 - b. the attached petition requesting consideration of this Information Disclosure Statement; and
 - c. the fee due under 37 C.F.R. §1.17(i)(1) which is paid as set forth in paragraph 9 below.
7. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with:
- a. ☐ 37 C.F.R. §1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue;
 - b. ☐ 37 C.F.R. §1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue.
 - c. The fee due under 37 C.F.R. §1.17(i)(1) is paid as set forth in paragraph 9 below.
8. ☐ I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

9. ☐ A check in the amount of \$180.00 is enclosed in payment of the fee due under 37 C.F.R. §1.17(p).
- ☐ Charge the fee due under 37 C.F.R. §1.17(i)(1) to Deposit Account No. 19-2814. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 19-2814. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,

Snell & Wilmer



Howard I. Sobelman
Registration No. 39,038

Dated: March 13, 2003

Snell & Wilmer L.L.P.
One Arizona Center
400 E. Van Buren
Phoenix, Arizona 85004-2202
Phone: (602) 382-6228
Fax: (602) 382-6070
Email: hsobelman@swlaw.com

Application Number	09/800,461
Filing Date	March 7, 2001
First Named Inventor	Lydia Breck
Art Unit	2161
Examiner Name	TBA
Attorney Docket Number	40655.0700

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code (if known) ²			
		US-	5,594,227	01-14-1997	Deo	
		US-	5,721,781	02-24-1998	Deo et al.	
		US-	5,742,756	04-21-1998	Dillaway et al.	
		US-	5,768,385	06-16-1998	Simon	
		US-	5,778,069	07-07-1998	Thomlinson et al.	
		US-	5,852,812	12-22-1998	Reeder	
		US-	5,878,138	03-02-1999	Yacobi	
		US-	5,878,141	03-02-1999	Daly et al.	
		US-	5,913,203	06-15-1999	Wong et al.	
		US-	5,918,216	06-29-1999	Miksovsky et al.	
		US-	5,958,004	09-28-1999	Helland et al.	
		US-	5,991,413	11-23-1999	Arditti et al.	
		US-	5,999,914	12-07-1999	Blinn et al.	
		US-	6,000,832	12-14-1999	Franklin et al.	
		US-	6,012,143	01-04-2000	Tanaka	
		US-	6,016,482	01-18-2000	Molinari et al.	
		US-	6,029,147	02-22-2000	Horadan et al.	
		US-	6,052,675	04-18-2000	Checchio	
		US-	6,070,150	05-30-2000	Remington et al.	
		US-	6,070,154	05-30-2000	Tavor et al.	

[illegible]

Date	
Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.

Complete if Known

(use as many sheets as necessary)

Sheet 2 of 2

Application Number	09/800,461
Filing Date	March 7, 2009
First Named Inventor	Lydia Breckner
Art Unit	2161
Examiner Name	TBA
Attorney Docket Number	40655.070000

[illegible][illegible]

**Examiner
Signature**

Date	
Considered	

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

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